

Department of Transportation

Section 1: Highlights of Agency E-Government Activities

A. Enhanced Delivery of Information and Services to the Public - Sec. 202(g)

Section 202(g) of the E-Gov Act requires agencies to provide information on how electronic Government is used to improve performance in delivering programs to constituencies. In no more than 250 words, describe one IT agency activity or initiative that enhances the delivery of information and services to the public and others, or makes improvements in government operations. This example should highlight how electronic government improved the effectiveness, efficiency, and quality of services provided by your agency.

Every year, millions of vehicles are recalled in the US due to safety defects or noncompliance with federal safety standards. To help car buyers, owners and renters know that vehicles are safe and their safety defects have been addressed, the Department of Transportation's National Highway Traffic Safety Administration (NHTSA) unveiled an online search tool consumers can use for vehicle recall. The tool on www.safercar.gov/vinlookup provides consumers with way to identify uncompleted recalls by entering the Vehicle Identification Number (VIN). Under the NHTSA mandate, all major light vehicle and motorcycle manufacturers are required to provide VIN search capability for uncompleted recalls on their own websites. This data must be updated weekly. NHTSA's VIN look-up tool relies on information from all automakers, and regularly updated information from the automakers is critical to the efficacy of the tool. This builds on NHTSA's current efforts to provide consumers with information to make decisions, including the New Car Assessment Program 5-Star Ratings System, Recall envelope and Safercar mobile apps which provide on-the-spot information on crash protection, advanced safety features, and recalls on new vehicles and older models. NHTSA works with the National Automobile Dealers Association to help ensure that franchise dealerships across the Nation are aware and understand how to use the VIN search tool.

B. Public Access to Electronic Information - Sec. 207(f)(1)(B)

Section 207(f)(1)(B) of the E-Gov Act requires that agency websites assist public users to navigate agency websites, including the speed of retrieval of search results and the relevance of the results. Provide the updated URL(s) that contains your agency's customer service goals and describes activities that assist public users in providing improved access to agency websites and information, aid in the speed of retrieval and relevance of search results, and uses innovative technologies to improve customer service at lower costs. For example, include the URL to your agency's Customer Service Plan.

Public Facing Agency URL(s)	Brief Explanation (if necessary)
http://www.transportation.gov/mission/open/dot-customer-service-plan	
http://www.transportation.gov/mission/open/overview	
http://www.transportation.gov/digitalstrategy	

Section 2: Compliance with Goals and Provisions of the E-Gov Act

A. Performance Integration - Sec. 202(b)

The E-Gov Act requires agencies to develop performance metrics that demonstrate how electronic government supports agency objectives, strategic goals, and statutory mandates. In no more than 250 words, describe what performance metrics are used and tracked for IT investments and how these metrics support agency strategic goals and statutory mandates. Please discuss performance metrics that focus on customer service, agency productivity, innovative technology adoption and best practices. If applicable, include a description of your agency's evaluation model and how it is used. Provide applicable URL(s) for performance goals related to IT.

Performance metrics are collected on DOT IT Investments to ensure the delivery of exceptional customer services as designed. For example, NHTSA's www.safercar.gov/vinlookup tool which provides consumers with a way to identify uncompleted recalls via Vehicle Identification Number (VIN) lookup is continuously measured for effectiveness. In May 2015, NHTSA announced the Takata airbag recall which impacted over 34 million vehicles. After the national news announcement, safercar.gov became the most visited website in government receiving over 100,000 connections hourly. Due to volume, the system began to fail resulting in consumers not being able to access the vital vehicle safety data. Within 30 days, the service was moved to the Microsoft Cloud to provide the elasticity required to support connection rates in the millions per second. In August, the Today Show re-announced the recall. Metrics showed that there were over 10 million connections to the safercar.gov service within a 24 hour period. The system remained fully operational ensuring the public could reliably and timely determine vehicles impacted thereby reducing the potential for personal injury. It is the Department's customary practice to use OMB established Capital Planning and Investment Control metrics to assess the health and performance of IT investments. Additionally, Quarterly performance metrics have been established for enterprise IT programs to measure the Department's progress toward achieving its goal for organizational excellence.

B. Accessibility - Sec. 202(c) and (d)

The E-Gov Act requires agencies to consider the impact of implementing policies on persons without access to the internet, and ensure accessibility to people with disabilities. Provide the URL(s) for your agency's website which describes actions taken by your agency in accordance with Section 508 of the Rehabilitation Act of 1973 (29 U.S.C. 794d).

Public Facing Agency URL(s)	Brief Explanation (if necessary)
http://www.transportation.gov/drc/section-508	
http://www.faa.gov/accessibility	
http://www.fta.dot.gov/about/13056.html	
http://www.marad.dot.gov/search/accessibility	
http://www.nhi.fhwa.dot.gov/resources/section508.aspx	
http://www.nhtsa.gov/About/Accessibility	

Public Facing Agency URL(s)	Brief Explanation (if necessary)
http://www.phmsa.dot.gov/about/accessibility	
http://www.its.dot.gov/library/508_guidance.htm	
http://www.fmcsa.dot.gov/mission/accessibility	

C. Government-Public Collaboration - Sec. 202(e)

The E-Gov Act requires agencies to sponsor activities that use information technology to engage the public in the development and implementation of policies and programs. In no more than 250 words, describe one example of how your agency utilized technology to initiate government-public collaboration in the development and implementation of policies and programs.

DOT continues to use web-based interactive technology to engage the public on important policy matters. During FY2015, we leveraged online dialogues to discuss matters including Private Sector Participation in Public Participation (December 2014) as well as accelerating innovation and expediting project delivery for transit (September 2015). These dialogues engaged over 250 people, resulting in nearly 100 ideas, 60 comments on those ideas and over 840 votes on those ideas. The results of these online dialogues on policies and reforms at the Federal Transit Administration. To ensure that outreach efforts reach the maximum number of participants, DOT supplements its online dialogue activities with webinars and other interactive information sessions. Furthermore, we take advantage of our social media presence to ensure the public is informed about upcoming opportunities to provide input on our policies and programs.

D. Credentialing - Sec. 203

The E-Gov Act seeks to achieve interoperable implementation of electronic signatures for appropriately secure electronic transactions with Government. In no more than 250 words, describe current activities your agency is undertaking to achieve the interoperable implementation of electronic credential authentication for transactions within the Federal Government and/or with the public (e.g. agency implementation of HSPD-12 and/or digital signatures).

DOT continues its implementation and integration of capabilities to fully support Federally-issued and approved credentials meeting the FIPS-201 standard. In FY2016, DOT plans on enhancing its identity management capabilities to strengthen core Public Key Infrastructure (PKI) and identity infrastructure and services, to expand use of existing strong authentication and federation services for Personal Identity Verification (PIV) "PIV enable" more DOT mission applications, to begin integration of Continuous Diagnostics and Mitigation (CDM)-specified identity management capabilities, and to refine its strong authentication strategy and capability for public, stakeholder-facing information systems on the web. The Department currently has more than 97% of its employees using their PIV cards on a required basis to access DOT networks, and 100% of privileged network account holders are required to use their PIV cards to access their privileged accounts. Approximately 31% of DOT information systems are configured to permit employees to login with their PIV cards. DOT employees can also send and receive digitally-signed emails both within DOT and to and from external partners as well as

use the digital signature features of the Microsoft Office Suite and Adobe products to conduct agency business.

E. USA.gov activities - Sec. 204 and Sec. 207(f)

In accordance with Section 204 of the E-Gov Act, www.USA.gov serves as an integrated internet-based system for providing the public with access to government information and services. In accordance with Section 207(f)(3), provide the URL(s) your agency's activities on www.USA.gov.

Public Facing Agency URL(s)	Brief Explanation (if necessary)
https://www.usa.gov/federal-agencies/department-of-transportation	

F. eRulemaking - Sec. 206

The E-Gov Act seeks to assist the public, including the regulated community, in electronically submitting information to agencies under Federal requirements, by reducing the burden of duplicate collection and ensuring the accuracy of submitted information. In no more than 250 words, provide a description of your agency's use of online electronic regulatory submission capabilities, specifically the usage of www.Regulations.gov and the Federal Docket Management System (FDMS).

DOT participates in the FDMS at www.Regulations.gov, and uses the website as its only docket; this means that all documents received by the agency through the website, email, postal mail, hand delivery, or fax are all posted to www.Regulations.gov for the public to review. Normally, an agency issues its proposed rulemaking in the Federal Register where they are instructed on how to file their comments on www.Regulations.gov. An agency may take additional steps to engage the public such as issuing a press release, posting the document on its website, or occasionally by hosting a public meeting on the rule. The design of this process generally results in a series of one-way communications, where the government speaks to the public and then various members of the public speak back to the Government.

G. National Archives Records Administration (NARA) Recordkeeping - Sec. 207(d-e)

The E-Gov Act requires agencies to adopt policies and procedures to ensure that chapters 21, 25, 27, 29, and 31 of title 44, United States Code, are applied effectively and comprehensively to Government information on the Internet and to other electronic records. In no more than 250 words, describe your agency's adherence to NARA recordkeeping policies and procedures for electronic information online and other electronic records. Additionally, please indicate the number of electronic records that have been scheduled with NARA and any pending scheduling for electronic systems at your agency.

DOT's multi-year initiative to modernize its RM/ERM program is led by the Departmental Records Management Officer under the Department's CIO/Senior Agency Official for Records Management. The modernization leverages and consults focus area stakeholders along with functional business and program owners. This overarching and collaborative approach allows

DOT to manage its records from creation through to final disposition. The governance of the DOT RM program reflects the federated nature of the DOT and utilizes a tiered model to ensure the program efforts are coordinated across the Department, while also providing OAs operational flexibility based on specific mission requirements. OA records office and liaisons embedded throughout the OAs are directly responsible for the operational aspects of RM for their respective offices. The RM program's modernization efforts with particular emphasis on addressing the President's Records Management Directive will continue through FY19, and includes goals, objectives, supporting initiatives, and measures to be implemented to meet DOT's RM mission. A new Strategic Plan provides a roadmap to meet the Directive objectives promotes an integrated life-cycle approach ensuring RM initiatives are not only compliant but are supported through sound investments and IT management practices. The forthcoming update to the Departmental RM policy establishes the framework for managing records in a continuously evolving digital and open government. The Department maintains its records inventory through regular review and close coordination with NARA. Currently, DOT has approximately 500 electronic records sets scheduled with NARA and nearly 135 for which schedules have been submitted but not yet approved.

H. Freedom of Information Act (FOIA) - Sec. 207(f)(A)(ii)

The E-Gov Act requires agency websites to include direct links to information made available to the public under the Freedom of Information Act. Provide the updated URL for your agency's primary FOIA website.

Public Facing Agency URL(s)	Brief Explanation (if necessary)
http://www.transportation.gov/foia	


I. Information Resources Management (IRM) Strategic Plan - Sec. 207(f)(A)(iv)

The E-Gov Act requires agency websites to include the strategic plan of the agency developed under section 306 of title 5, US Code. Provide the updated URL to your agency's IRM Strategic Plan. This plan should encompass activities in FY14. If your agency does not have an updated plan, please provide the URL to the most recent plan and indicate when an updated plan will be available.

Public Facing Agency URL(s)	Brief Explanation (if necessary)
http://www.transportation.gov/administrations/office-chief-information-officer/information-resources-management-irm-strategic-plan	

J. Research and Development (R&D) - Sec. 207(g)

If your agency funds R&D activities, provide the updated URL(s) for publicly accessible information related to those activities, and specify whether or not each website provides the public information about Federally funded R&D activities and/or the results of the Federal research.

Public Facing Agency URL(s)	Brief Explanation (if necessary)
http://www.faa.gov/data_research/research/	FAA research
http://www.fhwa.dot.gov/research	FHWA research
http://www.nhtsa.gov/Driving+Safety/Research+&+Evaluation	NHTSA research
 http://www.fra.dot.gov/Page/P0019	FRA research
http://primis.phmsa.dot.gov/rd/	PHMSA research and development
http://www.fmcsa.dot.gov/safety/research-and-analysis/research-projects	Active reasearch projects
http://www.fta.dot.gov/about/12351.html	FTA research and technology

K. Privacy Policy and Privacy Impact Assessments - Sec. 208(b)

The E-Gov Act requires agencies to conduct a privacy impact assessment; ensure the review of the privacy impact assessment by the Chief Information Officer, or equivalent official, as determined by the head of the agency; and if practicable, after completion of the review under clause, make the privacy impact assessment publicly available through the website of the agency, publication in the Federal Register, or other means. In no more than 250 words, describe your agency's adherence to this provision, including adherence to OMB's guidance pertaining to the use of IT to collect, maintain, or disseminate identifiable information, or when new systems are procured for this purpose. In addition, describe your agency's process for performing and updating privacy impact assessments for IT.

DOT is committed to protecting the safety of all data used in the system development lifecycle, but is especially aware of the risks associated with the collection, use, storage and sharing of PII. It is vitally important that DOT not only protect this information, but that individuals are able to control the collection, use and sharing of PII within DOT systems. DOT focuses on incorporating proactive risk management into every stage of system development. Risk management improves compliance with data privacy policies by raising awareness among employees and leadership regarding the standards for data safety. It institutes frameworks for training, compliance assessment, and vulnerability repair. Overall, it improves safety and security by reducing the possibility of errors that could lead to a privacy breach. The DOT Chief Privacy Officer (CPO) has operational responsibility for the department's privacy program and establishes policy and procedure for conducting PIA's and other privacy risk management activities. DOT Operating Administrations (OAs) in consultation with business and systems owners are responsible for preparing PIA's and submitting to the DOT CPO for approval and posting on the DOT privacy website (www.dot.gov/privacy). OAs are responsible for ensuring on-going compliance with the commitments made in their PIAs.

K2. Privacy Policy and Privacy Impact Assessment Links - Sec. 208(b)

In addition to the narrative provided above in section K., provide the updated URL(s) for your agency's privacy policy and the website where your agency's privacy impact assessments are available.

Public Facing Agency URL(s)	Brief Explanation (if necessary)
https://www.transportation.gov/dot-website-privacy-policy	
https://www.transportation.gov/individuals/privacy/privacy-impact-assessments	

M. Agency IT Training Programs - Sec. 209(b)(2)

The E-Gov Act calls for agencies to establish and operate information technology training programs. The act states that such programs shall have curricula covering a broad range of information technology disciplines corresponding to the specific information technology and information resource management needs of the agency involved; be developed and applied according to rigorous standards; and be designed to maximize efficiency, through the use of self-paced courses, online courses, on-the-job training, and the use of remote instructors, wherever such features can be applied without reducing the effectiveness of the training or negatively impacting academic standards. In no more than 250 words, describe your agency's IT training program, privacy training program, cross-agency development programs, and competencies reviews for IT workforce.

The DOT CIO's office continues to offer training sessions that cover a wide range of IT Training areas including, records management, privacy, accessibility (WCAG and 508), web training, and cybersecurity awareness training for IT professionals. The DOT CIO's office is also expanding training for CIO staff through a new Staff Training Education and Professional Development (STEP) program.